

DD / S REGISTER
FILE *Security 5*

19 OCT 1964

MEMORANDUM FOR: Deputy Director of Central Intelligence

THROUGH : Deputy Director for Support

SUBJECT : Supervisory Responsibility in Maintaining
Personnel Security

1. This memorandum contains recommendations for your approval. The recommendations are contained in paragraph 4.

2. As a result of the last Inspector General's report of the Office of Security, a recommendation was made by the IG as follows: "That heads of offices and chiefs of stations and bases be reminded of the need for particular attention to the problems and close supervision of employees new to the Agency."

3. The purpose of this memorandum and the attachments is to establish and implement a program of supervisory responsibility in maintaining personnel security within the Agency. The program as proposed is somewhat more broad than the apparent intent of the IG recommendation; however, the broader application is believed necessary in order to provide an effective program. The program consists of (1) a letter (Tab A) to the Executive Director-Comptroller, Deputy Directors, and other Addressees outlining the problems and setting forth certain basic premises of supervisory responsibility in maintaining personnel security; (2) a proposed Headquarters Regulation (Tab B) setting forth basic supervisory responsibilities and supporting the recently published [] dated 22 October

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4. It is recommended that the program be implemented as follows:

a. That Tab A be signed and copies sent to each Addressee to discuss the contents thereof at his next staff meeting and direct that subordinate commands do likewise until the program is relayed to the division and branch supervisory level throughout the Agency.

b. That after the initial implementation of the program, the provisions of Tab A be brought to the attention of all supervisory personnel semi-annually, during the months of January and July, in the same manner as recommended in subparagraph 4. a., above.

c. That proposed Headquarters [] Regulations, Tabs B and C, respectively, be coordinated and published by the Deputy Director for Support.

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R. L. Bannerman
Director of Security

Attachments:

Tab A - Memorandum to Executive Director-Comptroller
and Other Addressees

Tab B - Proposed Headquarters Notice

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CONCUR:

Deputy Director for Support

Date

The recommendations in paragraph 4. are approved.

Date

Deputy Director of Central Intelligence

Distribution:

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TAB

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UNCLASSIFIED		CONFIDENTIAL		X	SECRET
CENTRAL INTELLIGENCE AGENCY OFFICIAL ROUTING SLIP					
TO	NAME AND ADDRESS			DATE	INITIALS
1	Executive Director - Comptroller				
2					
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	ACTION		DIRECT REPLY		PREPARE REPLY
	APPROVAL		DISPATCH		RECOMMENDATION
	COMMENT		FILE		RETURN
	CONCURRENCE		INFORMATION		SIGNATURE
Remarks:					
FOLD HERE TO RETURN TO SENDER					
FROM: NAME, ADDRESS AND PHONE NO.					DATE
Deputy Director of Central Intelligence					
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MEMORANDUM FOR: Executive Director-Comptroller
Deputy Director for Intelligence
Deputy Director for Plans
Deputy Director for Science and Technology
Deputy Director for Support
Inspector General
Office of General Counsel

SUBJECT : Supervisory Responsibility in Maintaining
Personnel Security

1. The matter of employee security has been of interest to this Agency for a number of years. Recent incidents in the intelligence community, namely, the defection to the USSR in 1960 of Messrs. Martin and Mitchell, and, more recently, the Dunlap case, have made the interest more pronounced. As an example, a memorandum dated 13 October 1960, to the Deputy Directors, signed by Mr. Allen W. Dulles, subject: Security of Employees, is quoted as follows:

"1. The recent defection to the Soviets of two NSA employees has led me to direct a thorough review of our own security practices despite the fact that we had no responsibility for the security procedures in this particular case. The damage to intelligence sources and methods, and thus to the national security, has been considerable, and the potentiality of embarrassment to our relations with friendly foreign services is very real.

"2. Incidents of this nature do not just happen. Either the defecting individual has been a long-time penetration or he has reached a crisis in his life which causes him to take such an irrevocable step. In either case there would be signs or clues which would indicate to an alert supervisor that a problem with the employee exists. In the latter case

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involving an apparently normal employee, the action would usually be the result of a long build-up of imagined or real resentments, dissatisfactions, or by an incident of wrongdoing which the employee feels may be discovered. There would be an element of emotional instability involved which would cause the employee to avoid facing the facts.

"3. I wish to have it most forcefully impressed on every supervisor at every level that it is his responsibility to know his people and to be alert to detect and find solutions to their problems. If such problems cannot be handled in the normal administrative and supervisory process, the case should be made known to the Deputy Director concerned who would, in consultation with other appropriate officials such as the Inspector General, the Directors of Security and Personnel, and the Chief, Medical Staff, ensure that such problems are handled in such fashion as to minimize the risk to the Agency or undue harm to the career of the employee. Any situation where an employee is dissatisfied, antagonistic, shows indications of instability, or appears to be under some form of personal pressure should be carefully considered and reported. In most cases the employee simply needs advice and help. Early action in such cases can prevent the problem from reaching a crisis stage, whereas inattention and lack of action might permit the situation to develop to serious proportions resulting in harm to the career of the employee and to the Agency.

"4. The unexplained absence or failure to report to duty by an employee is a matter of real concern and should be referred immediately to the Office of Security and the Office of Personnel, who shall keep the Inspector General appropriately informed. Each supervisor should take such measures as are feasible to keep advised of the whereabouts of his people at all times. More detailed guidance on this point should be worked out and coordinated by each of the Deputies, taking account of the particular problems each Deputy may have.

"5. This memorandum should not be considered in any way as a reflection on the loyalty and integrity of Agency employees in whom I have every reason to have confidence. We must face the fact, however, that our employees do have personal problems

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and that the very nature of intelligence sometimes prevents or deters the employee from seeking and obtaining normal advice on these problems. It is only by careful supervision that we can detect employee problems and offer timely advice and assistance.

"6. The Deputies are responsible for bringing this memorandum to the attention of all supervisors who will formally acknowledge familiarity with its contents. "

2. The above quoted memorandum appears to have been predicated on the Martin-Mitchell case. However, of more recent interest and of great concern is the Dunlap case. At the direction of the United States Intelligence Board, members of the intelligence community are currently conducting detailed studies in an effort to assess the damage to intelligence sources and methods and to the national security as a result of disclosures by Sergeant Dunlap to the RIS. As pointed out in Mr. Dulles' memorandum, "Incidents of this nature do not just happen. Either the defecting individual has been a long-time penetration or he has reached a crisis in his life which causes him to take such an irrevocable step. "

3. Listed below are basic premises with which individual supervisors must be cognizant, and, if the program is to be effective, must practice:

- a. The supervisor must know the whereabouts of his employees at all times.
- b. The supervisor must know his employees as individuals and be alert to detect and assist in the solution of personal problems with which the employee may be confronted.
- c. The supervisor must establish a firm, sympathetic, friendly relationship with employees under his supervision and offer counseling and assistance wherever possible.
- d. The supervisor must urge employees to consult with and seek assistance from their supervisors on personal problems and feel confident that their problems will receive sympathetic, confidential consideration without the stigma of embarrassment or possible recrimination.

e. The supervisor must pay particular attention to new employees of the Agency assigned to duties under his supervision. He must ensure that they are properly briefed on basic security policies and give them an opportunity to read current notices and regulations relating to their duties. Pertinent security regulations must be discussed frequently with the new employee until the supervisor is certain the new employee fully understands his role in conforming with sound security practices as outlined in Agency regulatory issuances.

f. The supervisor must be alert to instances where an employee appears to be living beyond his means or where an employee's outside activity may be violating the regulations concerning the conflict of interest.

g. The supervisor must be alert to the existence of emotional instability in an employee due to, perhaps, physio/psychological causes or worries resulting from domestic, financial or other personal problems.

h. The supervisor must be acquainted with basic regulatory issuances as set forth in dated 22 October 1963, entitled: Responsibilities of Supervisors, and subsequent amendments thereto.

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i. If an employee's problem cannot be solved on the local level, the supervisor must bring the matter to the attention of the next higher authority so that appropriate officials can be informed. In this manner, the problem will be handled in such a manner as to minimize the risk to the Agency and to the career of the employee.

4. Each Addressee shall implement the program, as outlined herein, by discussing the contents of the memorandum at his next staff meeting. Furthermore, he shall direct that subordinate commands discuss the matter at their staff meetings until the program is disseminated to the division and branch level supervisor throughout the Agency. Likewise, the Inspector General shall bring the program to the attention of his staff

and direct that members of his staff query supervisory personnel at all levels during future inspections to ascertain the degree of knowledge of such personnel as to the contents of the program and specifically, their familiarity with regulatory issuances as set forth dated 22 October 1963, entitled: Responsibilities of Supervisors, and subsequent amendments thereto.

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5. Hereafter, Addressees shall cause the provisions of this memorandum to be brought to the attention of all supervisory personnel, on a semi-annual basis, during the months of January and July, in the same manner as outlined in paragraph 4., above.

Marshall S. Carter
Lieutenant General, USA
Deputy Director of Central Intelligence

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TAB

PROPOSED REGULATION

SECURITY

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53. SUPERVISORY RESPONSIBILITY IN MAINTAINING PERSONNEL SECURITY.

a. GENERAL

- (1) The promulgation of rules and regulations with which employees must comply in an intelligence organization is merely the initial step in building a sound personnel security program. Such a program must necessarily prescribe certain guidelines and limitations by which employees conduct their official as well as their private activities. The pursuit of such a program is continuous and requires the constant attention of all employees, particularly the supervisor. Supervisory responsibility in maintaining a sound personnel security program is a command function; therefore, the basic responsibility in advancing such a program and periodically bringing pertinent rules and regulations to the attention of employees must be borne by the supervisor.
- (2) The supervisor, in fulfilling his role, must first establish a rapport with employees under his supervision. Secondly, he must prove by his actions that he is conscientiously and sincerely interested in their personal welfare, personal problems and foremost, their advancement and career development. Thirdly, he must periodically discuss and review with his employees, individually or in groups, pertinent regulations pertaining to security in addition to other regulations of interest.
- (3) It is of paramount importance that the supervisor, before periodically discussing these matters with employees, be thoroughly familiar with the regulations in question so that he can discuss the items with authority and thereby instill confidence in the employee.

b. RESPONSIBILITIES OF THE SUPERVISOR

- (1) He must know the whereabouts of his employees at all times.
- (2) He must know his employees as individuals and be alert to detect and assist in the solution to problems with which his employees may be confronted.

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- (3) He must establish a sympathetic, friendly relationship with employees and offer counseling and assistance wherever possible.
- (4) He must urge employees to consult with and seek assistance from him on personal problems and cause employees under his supervision to feel confident that their problems will receive sympathetic and confidential consideration without the stigma of embarrassment or possible recrimination.
- (5) He must be especially cognizant of new employees and render helpful advice and suggestions in the performance of their duties and their familiarization with basic security policies and administrative procedures.
- (6) He must be alert to instances where an employee appears to be living beyond his means, or where an employee's outside activity may be violating the regulations governing the conflict of interest.
- (7) He must be acquainted with basic regulatory issuances as set forth dated 22 October 1963, entitled: Responsibilities of Supervisors, and subsequent amendments thereto.

c. CONCLUSIONS

- (1) The personnel security program of any organization is only as good as the personnel want it to be. The effectiveness of the program requires the combined efforts of each and every employee to know and comply with certain basic security regulations which are designed primarily to protect classified information, sources, and methods. These basic regulations must then be supplemented by a sound personnel security program, the implementation of which rests primarily with the employee and is pursued by the supervisor in periodic briefings and discussions.
- (2) The provisions of this paragraph shall be brought to the attention of all supervisory personnel on a semi-annual basis, during the months of January and July.

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Next 2 Page(s) In Document Exempt

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